



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
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VIA ECF AND EMAIL

The Honorable Katherine Polk Failla
United States District Court
Southern District of New York
40 Foley Square, Room 2103
New York, NY 10007

Re: SEC v. Christopher Plaford, 16 Civ. 4511 (KPF)

Dear Judge Failla:

Pursuant to the Court's January 25, 2019 Order, the parties have conferred as to the status of the above-referenced matter and hereby respectfully submit this status report.

The United States Attorney's Office for the Southern District of New York moved for a stay in this action. The Court extended the stay on July 25, 2018 and ordered the parties to file another status report within six months. By letter dated January 25, 2019, the parties advised the Court that Defendant Christopher Plaford was scheduled to be sentenced in the criminal case on February 20, 2019 and asked for a status report to be scheduled within sixty days. By Order dated January 25, 2019, the Court directed the parties to submit a status updated by March 26, 2019. On February 20, 2019, Plaford was sentenced in the parallel criminal case to time served and financial relief totaling \$7,311.96. Today, the parties were informed by the Court that the parties had not submitted a status report by March 26, 2019. Counsels for the parties apologize to the Court for missing that deadline. Counsels for the parties have conferred and are working to resolve this action in light of the conclusion of the parallel criminal case.

Accordingly, the parties seek the Court's permission to provide the Court with another status report within thirty days at or before which time either the parties will be able to either report that the parties have reached a settlement in principal (which the SEC staff will then need

to obtain authorization from the Commission and, if given to the SEC staff, then submission to the Court for approval) or that that parties will go forth and litigate this matter.

Respectfully submitted,



Alexander M. Vasilescu

cc: David Smith, Esq., Counsel to Christopher Plaford (via email)